

# Faculty Handbook

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## 2.6 Promotion and Tenure

Saint Mary's College of California

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## 2.6. PROMOTION AND TENURE

### 2.6.1. Statement on Criteria for Promotion and Tenure

Faculty members at Saint Mary's College are participants in an intellectual, social, and spiritual community committed to ensuring that the College be an outstanding Catholic institution of higher education, dedicated to developing students' capacities for responsible independent thought, spiritual growth, active citizenship, and a productive life. Faculty members are retained and promoted for their skillful, dedicated teaching, their scholarly vitality, and their service to the College community. Overarching and informing each of the criteria of teaching, scholarship and service must be the demonstrated commitment of faculty to the aims and ideals of the College, taking into consideration the nature, purposes and goals of specific programs. The Educational Goals Statement of the College and the statement on the faculty of the College (see 1.1., 1.2.) set forth the aims and ideals by which the faculty is challenged to guide its actions.

The successful pursuit of promotion and tenure requires serious engagement in a wide range of activities. Faculty members should make long-range plans for their own professional development to ensure that they meet the appropriate criteria. What follows is not a check-list, but rather a suggestion of general guidelines for evaluation.

#### Teaching Effectiveness

Teaching effectiveness is founded upon a clear command of subject matter, the skillful transmittal of knowledge, inspiring and fostering an active love of learning, and the communication of appropriate, high expectations of student performance. Because teaching is a profoundly human exchange between faculty and student, it requires interpersonal skills, organizational abilities, and a commitment to serve students in a respectful and honest manner.

It is the responsibility of faculty members to present clear evidence of their teaching effectiveness. The College recognizes several ways in which this can happen:

1. The development of courses appropriate to a faculty member's major field, the general education program of the College, and special curricular initiatives. Courses should reflect coherence, unity, and an appropriate balance between engaging a subject matter in depth and addressing the broad aims of a liberal education.
2. Conscientious preparation for classes. Course syllabi and assignments should reflect clearly defined academic objectives, expectations and standards. In the preparation of courses, teachers should hold before themselves the best scholarly standards of their disciplines. They should demonstrate current knowledge of the subject matter and its methodology, and creativity in the formulation of the syllabus.

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### 2.6.1. Statement on Criteria for Promotion and Tenure (continued)

3. Promoting intellectual stimulation and providing challenging learning experiences. Teachers are expected to be skilled in various modes of instruction. The teacher should communicate that understanding derives from an open mind, hard work, and rigorous thinking. Students should experience the rewards of commitment and self discipline in the pursuit of knowledge.
4. Clearly defined and appropriate means of assessing student learning. Through evaluation procedures and grading policies, teachers should communicate that excellence requires not only intellectual curiosity and originality, but also the practice of the rigors and discipline of learning.
5. Critical self-evaluation. Through their response to student evaluations, peer reviews, administrative reviews, and self-checks, faculty members should demonstrate their capacity to improve as teachers.

### Scholarly Interests and Pursuits

Saint Mary's College recognizes that intellectual growth and scholarly activity are closely related both to each other and to teaching effectiveness. Respecting the teaching mission of the College, Saint Mary's recognizes that faculty\* fulfill their responsibilities primarily through the teaching programs and curricula of the College. Scholarship aims not only at expanding the store of knowledge in the disciplines or in an interdisciplinary field, but also at enlightening the lives of our students with that knowledge. Within areas of specialization, scholarly activity manifests itself in formal and concrete ways that help keep alive and current the skills indigenous to one's academic discipline. Scholarly activity and intellectual growth should be broadly defined, yet specifically demonstrated in order to be evaluated fairly and effectively. The broad view recognizes the purposes of scholarship as:

1. Contributing to new knowledge and understanding in a basic discipline or field, including its pedagogy;
2. Developing greater expertise in one's discipline or in a related field of study;

\* There was an important discussion about the connotations that can lie behind the terms "faculty" and "scholar". For a more detailed footnote on this issue, see the May 13, 1993, authorization memo to faculty from the Academic Vice President, with the Statement on Criteria for Promotion and Tenure attached.

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### 2.6.1. Statement on Criteria for Promotion and Tenure (continued)

3. Providing new insights into the connections between the disciplines and into the historical and philosophical underpinnings of one's area of expertise.

It is the responsibility of faculty to present clear and public evidence of their scholarly performance and achievement. The forms which this presentation may include, but are not limited to:

1. Delivering research papers or lectures;
2. Creative achievement in the arts;
3. Acceptance to competitive structured programs of post-graduate study beyond that required for the terminal degree in one's field; and awards for scholarly achievement;
4. Published research through books, articles, reviews, and reports;
5. Activities related to professional practice where the faculty member's expertise or contribution can be evaluated. These activities represent the acquisition of significant knowledge or originality in the application of knowledge.

Thus the College also recognizes the following evidence:

- professional papers or reports, published or unpublished, which result from and/or describe consultancies;
- courses or workshops, taught on a consultant basis or at Saint Mary's College, which demonstrate the faculty member's growth as a professional or increase his/her learning, expertise, or skill;
- participation in professional meetings, panels or workshops.

### Service to the College

In order to sustain the community, service is required of all its members. Service to the community is the underlying motivation that impels the faculty to teach, to care about their students and the choice they make, to seek to make a contribution to the growth of knowledge in general, to search for the empowerment for themselves and others that can come from intellectual enlightenment, and to foster a collegial spirit that respects their associates' right to free inquiry.

It is the responsibility of faculty to present clear evidence of their service



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2.6.1. Statement on Criteria for Promotion and Tenure (continued)

to the College through their general participation in the work of the institution, cooperation with their colleagues, and contribution to the full development of their students in ways that extend beyond those identified within the criteria of teaching effectiveness and scholarship. Evidence of appropriate service normally includes:

1. Participation in the governance of the College and in the individual departments and programs.
2. Conscientious and effective advising of students.

Other examples of appropriate service can include but are not restricted to:

1. Participation in activities inside the College such as colloquia, fora, public lectures, reading and study groups, etc., which foster intellectual community, institutional identity, and interschool/interdisciplinary collaboration;
2. Training and mentoring new faculty;
3. Fostering formal and informal student activities;
4. Non-scholarly service to the larger intellectual and professional community.

2.6.1.1. Additional criteria.

Tenure: In addition to the criteria cited above, the following are included in view of the nature of permanent tenure:

- a) the needs of the College and the department;
- b) the possession of the Ph.D. degree or its equivalent is normally expected;
- c) a special emphasis on the contribution and commitment to the aims and ideals of the College, and an active interest in the quality of the curriculum and the ability to work well with colleagues.

Promotion: The following special criteria apply to various ranks:

a) Assistant Professor

- 1) possession of a Master's degree is normally expected;

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### 2.6.1.1. Additional criteria (continued)

- 2) the candidate must be judged competent to teach advanced or upper division courses;
- 3) the candidate should give evidence of scholarly achievement, especially continuation of advanced studies toward a doctorate, if not already possessed;

#### b) Associate Professor

- 1) possession of the Ph.D. or equivalent is normally expected
- 2) since the rank usually accompanies permanent tenure, note criteria for tenure, above

#### c) Full Professor

- 1) possession of the Ph.D. degree is normally expected
- 2) the rank is awarded in recognition of high scholarly achievement and teaching effectiveness, scholarly achievement to be evidenced by a sound professional reputation among academic colleagues outside the College itself

## 2.6.2. Procedures for Promotion and Tenure

### 2.6.2.1. Procedures Prior to Review of Candidates

#### 2.6.2.1.1. Eligibility

#### Faculty Rank and Tenure Roster

By November 1st of each year, the Academic Vice President will publish and distribute to the faculty and the Student Rank and Tenure Committee a "Faculty Roster" of full-time faculty (those who hold academic rank and whose instructional and administrative duties are the equivalent of seven full courses per scholastic year, and those in the above category whose instructional and administrative duties have been the equivalent of seven full courses per year, but who (1) are on official full- or part-time academic, sick or pregnancy leave; (2) are on sabbatical; (3) have tenure but have taken the option of a reduction in the full-time instructional load). The "Faculty Roster" will include the rank and number of years teaching at the College and at other colleges and the tenure status of each faculty member.

Tenure: The probationary period prior to the acquisition of permanent tenure is seven years (including all previous full-time service) except that it may



## 2.6. PROMOTION AND TENURE

### 2.6.2. Procedures for Promotion and Tenure

#### 2.6.2.1. Procedures Prior to Review of Candidates

##### 2.6.2.1.1. Eligibility (continued)

extend to as much as four years at the College, even if the total full-time service with academic rank (Instructor, Assistant Professor, Associate Professor, Professor) exceeds seven years. It is the ordinary policy of the College to utilize the maximum allowable probationary period (four years) before tenure is granted. (See also Probationary Appointments, 2.2.2.) If the decision is favorable, the faculty member is granted tenure at the completion of his/her probationary period, or sooner, subject to the provisions under Probationary Appointments, 2.2.2., if the College Rank and Tenure Committee so recommends and the President of the College approves the recommendation.

Notice of appointment or non-reappointment, or of intention not to recommend reappointment to the President of the College must be given at least twelve months prior to the completion of the probationary period. If the decision is for non-reappointment, the final year is a terminal one.

Promotion: Instructors must be considered for promotion no later than their third year of service. Assistant Professors must be considered for promotion no later than their seventh year of service at that rank. Associate Professors must be considered for promotion no later than their eighth year of service in that rank. Faculty members should be considered for promotion no later than the year in which they reach the top step in the salary schedule for their rank.

##### 2.6.2.1.2. Faculty Procedures, Promotion and Tenure

- 1) July 1st of each year\*, the Academic Vice President shall notify each person eligible for promotion or tenure. Those persons who are considered shall then submit, before November 1st, the appropriately completed forms and whatever other information they deem important to the consideration of their cases (statements of activities, publications, honors, etc.).
- 2) A tenured faculty member who does not wish to be considered for promotion may request that he/she not be considered during that year or for any length of time he/she requests, excepting the year in which he/she becomes eligible for promotion for the first time. If the request is granted by the Academic Vice President, that person becomes eligible for nomination to the College Rank and Tenure Committee.

\*The times specified for the completion of review procedures in this document, except those for notification, are a recommendation of the faculty, not a legal obligation of the College.

7 yrs

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2.6.2. Procedures for Promotion and Tenure

2.6.2.1. Procedures Prior to Review of Candidates

2.6.2.1.2. Faculty Procedures, Promotion and Tenure (continued)

- 3) By November 1st of each year, the Academic Vice President shall, by means of the appropriate form, formally solicit from the Dean of the School and the department chairpersons their evaluations and recommendations concerning those persons teaching in their departments who will be considered for promotion or tenure during that year.
- 4) The department chairperson (director of a program) is responsible for rank and tenure procedures at the departmental level. Appropriate forms for tenure and promotion must be completed by the chairperson (see under Duties of Department Chairperson: Rank and Tenure Review, 1.4.2.2.1.).
- 5) The department chairperson is expected to pay careful attention to a faculty member's dedication and commitment to good teaching which the College considers to be a hallmark of active membership in the intellectual community. The responsibility of the chairperson is clearly specified under Duties of Department Chairperson: Rank and Tenure Review; Teaching Effectiveness (1.4.2.2.1.). In making his/her recommendation, the chairperson is expected to consult with senior members of the department. Where evaluation of candidates by senior members differs from that of the chairperson it should be reported objectively by the chairperson. Evaluations by individual department members are submitted directly to the committee.
- 6) The Dean of the School in consultation with the department chairperson must submit a formal recommendation to the College Rank and Tenure Committee.
- 7) In cases of tenure and promotion, complete recommendations from department chairpersons and from the Dean of the School must be submitted to the Academic Vice President before January 31st of each academic year.
- 8) Letters of evaluation by all members of the College community should be addressed to the chairperson of the College Rank and Tenure Committee. All letters of evaluation received by the Dean of the School, the department chairperson and by the Student Rank and Tenure Committee should be forwarded to the chairperson of the College Rank and Tenure Committee to be placed in the candidate's file.



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2.6.2.1. Procedures Prior to Review of Candidates

2.6.2.1.3. Faculty Procedures. Interim Review

- 1) The interim review process provides the candidate, the Rank and Tenure Committee and the Academic Vice President with the opportunity for adequate consideration over a reasonable period of time. The interim review of probationary candidates normally occurs from the third through the fifth year of probation. In the case of a candidate with prior teaching credit, an interim review will occur at least one year before the candidate is eligible for tenure recommendation.
- 2) By November 1st of each year, the Academic Vice President shall solicit from the Dean of the School and department chairpersons (directors of programs) letters of interim evaluation and recommendation for non-tenured members of their departments. The chairpersons should review with non-tenured members those conditions which affect their promotion, retention, and tenure.
- 3) The department chairperson must keep informed as to department members being reviewed. He/she should review with non-tenured members those conditions which affect their promotion, retention, and tenure. The chairperson is expected to collect appropriate data to assist members of the department in their evaluation of the candidates since the chairperson's recommendation is expected to be made in consultation with senior members. Particular focus is to be placed upon teaching effectiveness and attendant class visitation responsibilities.
- 4) In cases of interim review, letters of evaluation and recommendation must be submitted to the Academic Vice President before December 31st of each year.

2.6.2.1.4. Student Rank and Tenure Committee Procedures

- 1) By November 1st of each year, the Academic Vice President shall present to the Student Rank and Tenure Committee chairperson the names of faculty members who will be considered for promotion, tenure, and interim review during that year.
- 2) The Student Rank and Tenure Committee chairperson meets with the College committee at the latter's organizational meeting in the fall term to present a description of the student committee's structure, its information-gathering schedule and techniques (e.g., questionnaires), and the way it uses its data in evaluating and recommending candidates for tenure and promotion. For interim review candidates it merely submits the questionnaires.
- 3) The committee chairperson arranges with each faculty member for the distribution and collection of the teaching evaluation questionnaires in his/her classes.

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2.6.2.1. Procedures Prior to Review of Candidates

2.6.2.1.4. Student Rank and Tenure Committee Procedures (continued)

- 4) The Student Rank and Tenure Committee makes all questionnaires directly available to the College Rank and Tenure Committee. The current questionnaires are open only to the Student Rank and Tenure Committee and the College Rank and Tenure Committee.
- 5) The Student Rank and Tenure Committee presents formal written recommendations on promotion and tenure to the College Rank and Tenure Committee.
- 6) The College Rank and Tenure Committee may request of the Student Rank and Tenure Committee additional questionnaire evaluations of faculty.

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2.6.2.2. College Rank and Tenure Committee Procedures

1. In the matter of faculty tenure, promotion, non-reappointment and dismissal, the College Rank and Tenure Committee, the College administration and the Board of Trustees respect and in general follow, as far as local conditions pertain, the 1940 Statement of Principles and subsequent interpretative comments (1940, 1970, and 1977) of the American Association of University Professors. However, neither the Board of Trustees nor the College administration has formally agreed to the 1940 Statement and subsequent interpretative documents and is not legally bound to adhere thereto. In cases where differences occur between the Saint Mary's College Faculty Handbook and procedures and policies of the AAUP, this Handbook supersedes procedures and policies of the AAUP.

2. The College Rank and Tenure Committee has a firm commitment to an Affirmative Action Program for the employment of women and minorities.

3. Voting

- a) Substantive recommendations of the Rank and Tenure Committee are made by a simple majority of the committee present.
- b) If a member of the committee believes that the information submitted on a candidate for promotion or tenure is insufficient, he/she may move to table the voting until the committee believes sufficient information is available.
- c) If the absence of a single member of the Rank and Tenure Committee prevents the timely conduct of business, the Rank and Tenure Committee may conduct business with a quorum of six.
- d) There will be one alternate member of the Rank and Tenure Committee. The alternate member does not attend Rank and Tenure Committee meetings unless called upon to do so by the committee because the extended absence of a regular member would prevent conducting business in a timely manner.

4. Confidentiality

- a) The deliberations of the College Rank and Tenure Committee are confidential. It is the responsibility of all members of the committee to ensure that confidentiality is maintained.
- b) While the committee should search out maximum information concerning candidates, any use of the position of the Rank and Tenure Committee members to sway the judgment of others in the community is a grave violation of responsibility.



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2.6.2.2. College Rank and Tenure Committee Procedures (continued)

- c) If a question arises concerning a breach of confidentiality or misuse of the information gathering process by a member of the College Rank and Tenure Committee, the other members should consider the matter and take whatever action they deem appropriate.
- d) Other than current members of the College Rank and Tenure Committee, those who have access to confidential information are the President, the Academic Vice President, the Dean of the School for School faculty, and department chairpersons (or program directors) for department faculty (or program faculty). In cases which are being appealed on the grounds of inadequate consideration or violation of academic freedom, members of the Grievance Committee, the ad hoc Rank and Tenure Review Committee or the Board of Trustees who are hearing the appeals, have access to the confidential material which was available to the Rank and Tenure Committee, as well as the minutes of the Rank and Tenure Committee meeting pertaining to the case(s) being appealed. All having such access are bound by the same confidentiality which binds the Rank and Tenure Committee.

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2.6.2.3. Recommendation and Decision Procedures

Tenure

1. When a negative recommendation either by the Committee or by the Academic Vice President has been rendered in the case of tenure, the Academic Vice President shall inform the candidate in writing. He shall discuss the basis for this recommendation with the candidate, if the candidate so desires. The candidate shall have ten (10) school days from the date of written notification from the Academic Vice President to submit to the Academic Vice President his or her written response to the recommendation.
2. The Academic Vice President will forward the recommendation of the Rank and Tenure Committee together with his own recommendations, and the candidate's written response (if timely made) to the President of the College.
3. Upon receipt of the recommendations and the candidate's written response (if timely made) the President of the College shall review the recommendations and the candidate's written response and make the final decision as to the granting or denial of tenure.
4. If the President finds the recommendations of the Rank and Tenure Committee and/or the Academic Vice President to grant tenure unacceptable in a tenure consideration, the President will meet with the Rank and Tenure Committee or, if his disagreement is with the Academic Vice President alone, with the Academic Vice President, to discuss the case. If, after such meeting and discussion, the President still finds the recommendation(s) unacceptable in the case where the President intends to deny tenure, the President shall inform the faculty member of the President's decision to deny tenure and will give the reasons orally to the faculty member. If the faculty member so requests, the President will give the faculty member a written statement of the reasons for denial of tenure.
5. The President will inform all candidates in writing of his decision to grant or deny tenure. To the extent possible, notification to the candidates of tenure decisions will be made at approximately the same time. In a case where the President's decision is to deny tenure, the President shall inform the candidate in writing of the President's decision and the recommendations of the Rank and Tenure Committee, and the recommendation of the Academic Vice President.
6. Following notification to the candidate of the President's decision, the candidate may appeal the President's decision to deny tenure according to the Appeal Procedures (2.16.3.).

2.6. PROMOTION AND TENURE

2.6.2.3. Recommendation and Decision Procedures (continued)

Promotion

1. Following notification to the candidate of the President's decision, the candidate may appeal the President's decision to deny promotion according to the Appeal Procedure (2.16.3.).



2.6. PROMOTION AND TENURE

2.6.3. Advancement of Academic Administrators

1. Academic administrators with faculty rank are considered in the same category as full-time faculty members for purposes of advancement, tenure, and promotion, even though their teaching duties may be part-time or may be interrupted entirely by administrative duties. Like other faculty members, they advance one step within rank each year.
2. With regard to promotion and tenure, the same procedures should be followed as far as possible for academic administrators as for other members of the faculty.
3. The Academic Vice President will be reviewed by the College Rank and Tenure Committee and during those deliberations, the chairperson of the Academic Senate shall replace the Academic Vice President as chairperson of the committee. The committee shall use its discretion in finding means to conduct the fullest possible evaluation, including personal interview, since normal departmental channels do not seem adequate in this case. Recommendation should be made by the chairperson of the Academic Senate to the President of the College.
4. Promotion and the granting of tenure to academic administrators should be governed by the same criteria that are applied to other faculty members (with the exception that the academic administrator is regarded as full-time, regardless of the extent of his/her teaching duties).
5. Academic administrators with faculty rank are those who meet the following criteria:
  - a) Regular faculty status, granted according to the same standards that apply to other members of the faculty.
  - b) Administrative duties of a genuinely academic character, that is, directly concerned with the academic program or with the academic preparation of students (e.g., President, Academic Vice President, Dean of a School).
6. In disputed cases, the College Rank and Tenure Committee should determine whether an individual administrator meets both of these criteria.
7. The College Rank and Tenure Committee makes no recommendation directly on the appointment and retention of academic administrators, who are appointed and evaluated in their administrative capacity by the President of the College; it does make recommendations on their rank and advancement within the faculty.